

From: (b)(6)
Sent: Tue, 7 Mar 2023 18:36:12 +0000
To: Colby, Robert
Subject: RE: SEC Investor Advisory Committee Recommendation - FINRA

Thanks Bob –

(b)(6)

Special Advisor and Investor Engagement Manager
U.S. Securities and Exchange Commission

(b)(6) (b)(6) [sec.gov](mailto:(b)(6)@sec.gov)

From: Colby, Robert (b)(6)@finra.org>
Sent: Tuesday, March 7, 2023 1:32 PM
To: (b)(6)@SEC.GOV>
Cc: Miller, Kay (b)(6)@finra.org>; Christopher Mirabile (b)(6)@gmail.com>; Van Buskirk, Leslie M - DFI (b)(6)@dfi.wisconsin.gov>; Theodore Daniels (b)(6)@sfepd.org>; (b)(6)@hellmerfamily.com>; (b)(6)@charter.net>; Christine Lazaro (b)(6)@stjohns.edu>; Cook, Robert (b)(6)@finra.org>; Walsh, Gerri (b)(6)@finra.org>; Dalal, Kosha (b)(6)@finra.org>; Mottola, Gary (b)(6)@finra.org>; Gliniecki, Patrice (b)(6)@finra.org>
Subject: RE: SEC Investor Advisory Committee Recommendation - FINRA

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Thank you, (b)(6). We have tracked the progress of this recommendation, and look forward to the Commission's response.

In the meantime, we will review our rules in light of this recommendation.

With best regards,

Bob Colby

Robert LD Colby
Chief Legal Officer
1735 K Street, NW | Washington, DC 20006

(b)(6)@finra.org

(b)(6)

FINRA

From: (b)(6) <(b)(6)@SEC.GOV>
Sent: Monday, March 06, 2023 5:27 PM
To: Cook, Robert (b)(6) <(b)(6)@finra.org>; Colby, Robert (b)(6) <(b)(6)@finra.org>; Walsh, Gerri (b)(6) <(b)(6)@finra.org>; Dalal, Kosha (b)(6) <(b)(6)@finra.org>; Mottola, Gary (b)(6) <(b)(6)@finra.org>
Cc: Miller, Kay (b)(6) <(b)(6)@finra.org>; Christopher Mirabile (b)(6) <(b)(6)@gmail.com>; Van Buskirk, Leslie M - DFI (b)(6) <(b)(6)@dfi.wisconsin.gov>; Theodore Daniels (b)(6) <(b)(6)@sfepd.org>; (b)(6) <(b)(6)@hellmerfamily.com>; (b)(6) <(b)(6)@charter.net>; Christine Lazaro (b)(6) <(b)(6)@stjohns.edu>
Subject: SEC Investor Advisory Committee Recommendation - FINRA

WARNING: External Sender! Exercise caution with links, attachments and requests for login information.

Greetings Mr. Cook and FINRA Leaders,

The [Investor Advisory Committee \[sec.gov\]](#) (IAC), one of the Commission's independent advisory committees, held a [public meeting on Thursday, March 2, 2023 \[sec.gov\]](#) in which they approved a recommendation on [Customer Account Statements \[sec.gov\]](#).

As a courtesy, the IAC Leadership (CCd here) have asked that I share the recommendation directly with you and your staff.

The Commission has received the recommendation, but has not yet taken a position on the matter.

On a more personal note, thank you to your team for their collaborative efforts over the past few months with the SEC's Office of the Investor Advocate. The new Investor Advocate, (b)(6) <(b)(6)@sec.gov>, appreciates the collaboration, and looks forward to continuing the working relationship to protect investors between our Office and FINRA.

Thanks,

(b)(6)
Special Advisor and Investor Engagement Manager
U.S. Securities and Exchange Commission
(b)(6) <(b)(6)@sec.gov>

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From: Uyeda, Mark T on behalf of Kofsky, Aaron
Sent: Mon, 12 Dec 2022 16:57:20 +0000
To: Cook, Robert
Subject: Accepted: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA
CEO Robert Cook

From: Uyeda, Mark T on behalf of Kofsky, Aaron
Sent: Mon, 12 Dec 2022 16:57:20 +0000
To: (b)(6)@finra.org
Subject: Accepted: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA
CEO Robert Cook

From: Cook, Robert
Sent: Mon, 12 Dec 2022 16:56:38 +0000
To: Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron
Cc: Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support
Subject: Canceled: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook
Importance: High

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FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder], reoccurring on the third Friday every 3 months, beginning on September 16, 2022, through 2023.

Commissioner Mark Uyeda
Poc: Aaron Kofsky

FINRA
Robert Cook, President and CEO
Bob Colby, EVP and Chief Legal Officer
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From: Cook, Robert
Sent: Tue, 28 Feb 2023 22:13:46 +0000
To: Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron; Wingler, Jeanette
Cc: Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support
Subject: Canceled: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook
Importance: High

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Commissioner Mark Uyeda
Poc: Aaron Kofsky

FINRA
Robert Cook, President and CEO
Bob Colby, EVP and Chief Legal Officer
Greg Dean, SVP Government Affairs
Jeanette Wingler, Special Assistant to the CEO

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From: Cook, Robert
Sent: Tue, 28 Feb 2023 22:14:14 +0000
To: Colby, Robert; Dumont, Stephanie; Stankard, Nathaniel; Dean, Gregory; Kofsky, Aaron
Subject: Canceled: HOLD SEC/FINRA: (b)(4) and Quarterly Update Meeting with Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder]
Importance: High

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Aaron: This is an interim placeholder for the meeting with Commissioner Uyeda and Mr. Cook. After we receive your invite with the WebEx link, I will pull down the placeholder. Thank you for your assistance. Kay Miller

Commissioner Mark Uyeda
Poc: Aaron Kofsky

Robert Cook, President and CEO, (b)(6)@finra.org
Bob Colby, EVP and Chief Legal Officer, (b)(6)@finra.org
Stephanie Dumont, EVP Market Regulation, (b)(6)@finra.org
Nathaniel Stankard, EVP Regulatory Operations, (b)(6)@finra.org
Greg Dean, SVP Government Affairs, (b)(6)@finra.org

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From: (b)(6)@finra.org on behalf of "Kofsky, Aaron"
Sent: Fri, 16 Dec 2022 18:57:26 +0000
To: Levine, Steven (ES); (b)(6)@finra.org; (b)(6)@finra.org;
(b)(6)@finra.org; Kofsky, Aaron
Cc: (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org
Subject: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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From: Cook, Robert
Sent: Monday, December 12, 2022 11:57:02 AM
To: Cook, Robert (b)(6)@finra.org; Colby, Robert (b)(6)@finra.org; Dean, Gregory (b)(6)@finra.org; Claussen, Cory (b)(6)@finra.org; Kofsky, Aaron (b)(6)@SEC.GOV
Cc: Chesher, Mitchell (b)(6)@finra.org; Hader, Kurt (b)(6)@finra.org; Campbell, Kicha (b)(6)@finra.org
Subject: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook
When: Friday, December 16, 2022 2:30 PM-3:00 PM.
Where: WebEx (poc: Aaron Kofsky)

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Commissioner Mark Uyeda
Poc: Aaron Kofsky

FINRA
Robert Cook, President and CEO
Bob Colby, EVP and Chief Legal Officer
Greg Dean, SVP Government Affairs

Robert Cook is inviting you to a scheduled Webex meeting.

Friday, December 16, 2022

2:30 PM | (UTC-05:00) Eastern Time (US & Canada) | 1 hr

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From: (b)(6)@finra.org on behalf of "Kofsky, Aaron"
Sent: Fri, 16 Dec 2022 06:16:40 +0000
To: Fisher, Robert; (b)(6)@finra.org; (b)(6)@finra.org;
(b)(6)@finra.org; Kofsky, Aaron
Cc: (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org
Subject: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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From: Cook, Robert
Sent: Monday, December 12, 2022 11:57:02 AM
To: Cook, Robert (b)(6)@finra.org>; Colby, Robert (b)(6)@finra.org>; Dean, Gregory (b)(6)@finra.org>; Claussen, Cory (b)(6)@finra.org>; Kofsky, Aaron (b)(6)@SEC.GOV>
Cc: Cheshier, Mitchell (b)(6)@finra.org>; Hader, Kurt (b)(6)@finra.org>; Campbell, Kicha (b)(6)@finra.org>
Subject: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook
When: Friday, December 16, 2022 2:30 PM-3:00 PM.
Where: WebEx (poc: Aaron Kofsky)

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Commissioner Mark Uyeda
Poc: Aaron Kofsky

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Robert Cook, President and CEO
Bob Colby, EVP and Chief Legal Officer
Greg Dean, SVP Government Affairs

Robert Cook is inviting you to a scheduled Webex meeting.

Friday, December 16, 2022
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From: Cook, Robert
Sent: Mon, 12 Dec 2022 16:56:46 +0000
To: Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron
Cc: Chesher, Mitchell; Hader, Kurt; Campbell, Kicha
Subject: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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Commissioner Mark Uyeda
Poc: Aaron Kofsky

FINRA
Robert Cook, President and CEO
Bob Colby, EVP and Chief Legal Officer
Greg Dean, SVP Government Affairs

Robert Cook is inviting you to a scheduled Webex meeting.

Friday, December 16, 2022

2:30 PM | (UTC-05:00) Eastern Time (US & Canada) | 1 hr

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From: (b)(6)@finra.org
Sent: Fri, 16 Jun 2023 12:55:32 +0000
To: Fisher, Robert; Uyeda, Mark T; (b)(6)@SEC.GOV; (b)(6)@finra.org;
(b)(6)@finra.org
Cc: (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org;
(b)(6)@finra.org
Subject: FW: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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-----Original Appointment-----

From: Cook, Robert (b)(6)@finra.org>
Sent: Friday, August 12, 2022 2:44 PM
To: Cook, Robert; Uyeda, Mark T; Butler, Letia (Contractor); Colby, Robert; Dean, Gregory
Cc: Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support
Subject: FW: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook
When: Occurs the third Friday of every 3 month(s) effective 12/16/2022 until 12/29/2023 from 9:00 AM to 9:30 AM Eastern Standard Time.
Where: Virtual | FINRA Hosted WebEx (poc: Tia Butler)

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-----Original Appointment-----

From: Cook, Robert (b)(6)@finra.org>
Sent: Friday, August 12, 2022 1:54 PM
To: Cook, Robert; Butler, Letia (Contractor); Colby, Robert; Dean, Gregory
Cc: Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support
Subject: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook
When: Occurs the third Friday of every 3 month(s) effective 12/16/2022 until 12/29/2023 from 9:00 AM to 9:30 AM Eastern Standard Time.
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Commissioner Mark Uyeda
Poc: Tia Butler

FINRA
Robert Cook, President and CEO
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From: (b)(6)@finra.org on behalf of "Kofsky, Aaron"
Sent: Tue, 28 Feb 2023 22:15:18 +0000
To: Uyeda, Mark T; UyedaCounsels,(b)(6)@finra.org;
(b)(6)@finra.org; (b)(6)@finra.org; Kofsky, Aaron; (b)(6)@finra.org;
(b)(6)@finra.org
Cc: (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org;
(b)(6)@finra.org; (b)(6)@finra.org
Subject: FW: SEC/FINRA (b)(4) and Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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-----Original Appointment-----

From: Cook, Robert (b)(6)@finra.org>
Sent: Tuesday, February 28, 2023 5:15 PM
To: Cook, Robert; Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron; Wingler, Jeanette; Dumont, Stephanie
Cc: Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support; AVSupport
Subject: SEC/FINRA (b)(4) and Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook
When: Friday, March 17, 2023 9:30 AM-10:30 AM (UTC-05:00) Eastern Time (US & Canada).
Where: FINRA hosted WebEx poc: Aaron Kofsky

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Commissioner Mark Uyeda
Poc: Aaron Kofsky

FINRA
Robert Cook, President and CEO
Bob Colby, EVP and Chief Legal Officer
Greg Dean, SVP Government Affairs
Jeanette Wingler, Special Assistant to the CEO
Stephanie Dumont, EVP Market Regulation

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From: Cook, Robert
Sent: Tue, 28 Feb 2023 21:04:48 +0000
To: Colby, Robert; Dumont, Stephanie; Stankard, Nathaniel; Dean, Gregory; Kofsky, Aaron
Subject: HOLD SEC/FINRA (b)(4) and Quarterly Update Meeting with Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder]

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Commissioner Mark Uyeda
Poc: Aaron Kofsky

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Bob Colby, EVP and Chief Legal Officer, (b)(6) @finra.org
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From: Cook, Robert
Sent: Tue, 28 Feb 2023 22:13:56 +0000
To: Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron; Wingler, Jeanette; Dumont, Stephanie
Cc: Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support; AVSupport
Subject: SEC/FINRA (b)(4) and Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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Commissioner Mark Uyeda
Poc: Aaron Kofsky

FINRA
Robert Cook, President and CEO
Bob Colby, EVP and Chief Legal Officer
Greg Dean, SVP Government Affairs
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